

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Samuel H. Duncan

Confirmation No.:

Application No.: N/A

Examiner: Not Assigned

Filing Date: July 1, 2003

Group Art Unit: N/A

Title: SYSTEM AND METHOD FOR PROVIDING FORWARD PROGRESS AND AVOIDING
STARVATION AND LIVELOCK IN A MULTIPROCESSOR COMPUTER SYSTEM

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:
☐ Statement under 37 CFR 1.97(e)(1) or (2), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EV 336753836 US

Date of Deposit July 1, 2003

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.

By _____

Typed Name:

Respectfully submitted,

Samuel H. Duncan

By 

Michael R. Reinemann

Attorney/Agent for Applicant(s)

Reg. No. 38,280

Date: July 1, 2003

PATENT APPLICATION

Sheet 1 of 1

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. 200301885-2	APPLICATION NO.	CONFIRMATION NO.
APPLICANT Samu I H. Duncan			
FILING DATE July 1, 2003		GROUP N/A	

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	5,515,523 ✓	05-07-1996	Kalkunte, et al.	
	1B	5,625,779 ✓	04-29-1997	Solomon, et al.	
	1C	5,884,100 ✓	03-16-1999	Normoyle, et al.	
	1D	6,014,690 ✓	01-11-2000	VanDoren, et al.	
	1E	6,094,686 ✓	07-25-2000	Sharma	
	1F	6,247,102B1 ✓	06-12-2001	Chin, et al.	
	1G				
	1H				
	1I				
	1J				
	1K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q ✓	Chapter 3 Memory Management, http://www.linuxdoc.org/LDP/tik/mm/memory.html , (c) 1996-1999, pp. 1-23.
	1R ✓	Mutliprocessors (7 pages).
	1S ✓	RUSSO, Andrew P., The AlpaServer 2100 I/O Subsystem, http://www.digital.com , (c) 1994, pp. 1-13.

EXAMINER

DATE CONSIDERED

PATENT APPLICATION

Sheet 2 of 2

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
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STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200301885-2

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	2L					
	2M					
	2N					
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	2P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

2Q	✓	DUNCAN, S., KEEFER, C. and MCLAUGHLIN, T., High Performance I/O Design in the AlphaServer 4100 Symmetric Multiprocessing System, Compaq Digital Technical Journal, pp. 1-24.
2R	✓	STEINMAN, M. HARRIS, G., KOCEV, A., LAMERE, V. and PANNELL, R., The AlphaServer 4100 Cached Processor Module Architecture and Design, Digital Technical Journal, pp. 1-29.
2S	✓	BANNON, P., Alpha 21364: Scalable Single-chip SMP, (c) 1999, pp. 1-4.

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	3L					
	3M					
	3N					
	3O					
	3P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

3Q	New Compaq AlphaServer GS Series Architecture White Paper, Compaq Computer Corporation, (c) 2000, pp. 1-11.
3R	
3S	

EXAMINER

DATE CONSIDERED